

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Sakowicz and Goldstein

Attorney's Docket No.: 18557C-7-1

Title: IDENTIFICATION AND EXPRESSION OF A NOVEL KINESIN MOTOR PROTEIN

UCSD Case No.: SD 98-010-2

VERIFIED STATEMENT UNDER 37 CFR §1.9(f) AND §1.27(d)
CLAIMING STATUS AS A SMALL ENTITY - NONPROFIT ORGANIZATION

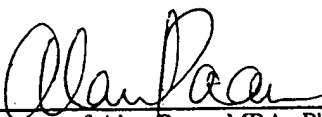
I, Dr. Alan Paau, Director of the Technology Transfer Office of the University of California, San Diego, hereby declare that:

1. I am empowered to act on behalf of THE REGENTS OF THE UNIVERSITY OF CALIFORNIA, a corporation duly organized under and pursuant to the laws of CALIFORNIA having its principal place of business at 1111 Franklin Street, 5th Floor, Oakland California 94607-5200, in the matter of this VERIFIED STATEMENT.
2. THE REGENTS OF THE UNIVERSITY OF CALIFORNIA is a University of higher education of the State of California and a nonprofit organization.
3. The rights under contract or law in the invention contained within the above-identified patent application are obligated to be assigned to and remain with THE REGENTS OF THE UNIVERSITY OF CALIFORNIA. THE REGENTS OF THE UNIVERSITY OF CALIFORNIA has not assigned, granted, conveyed or licensed, and is under no obligation under contract or law to assign, grant, convey or license any rights in the invention nor in the application to any person who could not be classified as an independent inventor if that person had made the invention, or to any concern which would not qualify as a small business concern under 37 CFR §1.9(d) or a non-profit organization under 37 CFR §1.9(e).
4. THE REGENTS OF THE UNIVERSITY OF CALIFORNIA qualifies as a nonprofit organization as defined in 37 CFR §1.9(e) for paying reduced fees under section 41 subsections (a) and (b) of Title 35, United States Code, with regard to said application.
5. I acknowledge the duty under 37 CFR §1.28(b) to file, in this application or any patent issuing thereon, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of any issuance fee or any maintenance fee due after that date on which status as a small entity is no longer appropriate.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements are made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under §1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent(s) issuing thereon.

3/24/99

Date


Signature of Alan Paau, MBA, Ph.D.
Director, Technology Transfer Office
University of California San Diego
9500 Gilman Drive, MC 0910
La Jolla, CA 92093-0910
Representative of THE REGENTS OF THE UNIVERSITY OF CALIFORNIA

DECLARATION

As a below named inventor, I declare that:

My residence, post office address and citizenship are as stated below next to my name; I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural inventors are named below) of the subject matter which is claimed and for which a patent is sought on the invention entitled: **IDENTIFICATION AND EXPRESSION OF A NOVEL KINESIN MOTOR PROTEIN** the specification of which is attached hereto or X was filed on January 22, 1999 as Application No. 09/235,416 and was amended on (if applicable).

I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above. I acknowledge the duty to disclose information which is material to the examination of this application in accordance with Title 37, Code of Federal Regulations, Section 1.56. I claim foreign priority benefits under Title 35, United States Code, Section 119 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed.

Prior Foreign Application(s)

| Country | Application No. | Date of Filing | Priority Claimed Under 35 USC 119 |
|---------|-----------------|----------------|--------------------------------------|
| | | | |

I hereby claim the benefit under Title 35, United States Code § 119(e) of any United States provisional application(s) listed below:

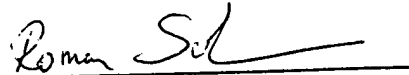
| Application No. | Filing Date |
|-----------------|------------------|
| 60/072,361 | January 23, 1999 |

I claim the benefit under Title 35, United States Code, Section 120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, Section 112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, Section 1.56 which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

| Application No. | Date of Filing | Status |
|-----------------|----------------|--------|
| | | |

| | | | | |
|--------------------------|---|-------------------------------------|--|------------------------------|
| Full Name of Inventor 1: | Last Name: SAKOWICZ | First Name: ROMAN | Middle Name or Initial: | |
| Residence & Citizenship: | City: Foster City | State/Foreign Country: CA | Country of Citizenship: Poland | |
| Post Office Address: | Post Office Address: 524 Jibstay Lane | City: Foster City | State/Country: CA | Postal Code: 94404 |
| Full Name of Inventor 2: | Last Name: GOLDSTEIN | First Name: LAWRENCE | Middle Name or Initial: S.B. | |
| Residence & Citizenship: | City: San Diego | State/Foreign Country: CA | Country of Citizenship: USA | |
| Post Office Address: | Post Office Address: 13384 Keegan Place | City: San Diego | State/Country: CA | Postal Code: 92130 |

I further declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

| | | |
|--|--|---------------------------------|
| Signature of Inventor 1  ROMAN SAKOWICZ | Signature of Inventor 2 LAWRENCE S.B. GOLDSTEIN | Signature of Inventor 3 |
| Date 3/5/99 | Date | Date |

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191593 v1

DECLARATION

As a below named inventor, I declare that:

My residence, post office address and citizenship are as stated below next to my name; I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural inventors are named below) of the subject matter which is claimed and for which a patent is sought on the invention entitled: **IDENTIFICATION AND EXPRESSION OF A NOVEL KINESIN MOTOR PROTEIN** the specification of which is attached hereto or **X** was filed on **January 22, 1999** as Application No. **09/235,416** and was amended on (if applicable).

I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above. I acknowledge the duty to disclose information which is material to the examination of this application in accordance with Title 37, Code of Federal Regulations, Section 1.56. I claim foreign priority benefits under Title 35, United States Code, Section 119 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed.

Prior Foreign Application(s)

| Country | Application No. | Date of Filing | Priority Claimed Under 35 USC 119 |
|---------|-----------------|----------------|--------------------------------------|
| | | | |

I hereby claim the benefit under Title 35, United States Code § 119(e) of any United States provisional application(s) listed below:

| Application No. | Filing Date |
|-------------------|-------------------------|
| 60/072,361 | January 23, 1999 |

I claim the benefit under Title 35, United States Code, Section 120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, Section 112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, Section 1.56 which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

| Application No. | Date of Filing | Status |
|-----------------|----------------|--------|
| | | |

| | | | | |
|-----------------------------|---|-------------------------------------|--|------------------------------|
| Full Name of Inventor 1: | Last Name: SAKOWICZ | First Name: ROMAN | Middle Name or Initial: | |
| Residence & Citizenship: | City: Foster City | State/Foreign Country: CA | Country of Citizenship: Poland | |
| Post Office Address: | Post Office Address: 524 Jibstay Lane | City: Foster City | State/Country: CA | Postal Code: 94404 |
| Full Name of Inventor 2: | Last Name: GOLDSTEIN | First Name: LAWRENCE | Middle Name or Initial: S.B. | |
| Residence & Citizenship: | City: San Diego | State/Foreign Country: CA | Country of Citizenship: USA | |
| Post Office Address: | Post Office Address: 13384 Keegan Place | City: San Diego | State/Country: CA | Postal Code: 92130 |

PATENT
Attorney Docket No.: UCSD-04742

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Roman Sakowicz *et al.* Group No.: 1645
Serial No.: 09/235,416 Examiner: L. Lee
Filed: 01/22/99
Entitled: Identification and Expression of a Novel Kinesin Motor Protein

**POWER OF ATTORNEY BY ASSIGNEE
(REVOCATION OF PRIOR POWERS)**

Assistant Commissioner for Patents
Washington, D.C. 20231

The Regents of the University of California, as Assignee of record of the entire interest of the above-identified patent application, hereby revokes any powers of attorney which may have been filed and appoints the members of the firm of MEDLEN & CARROLL, LLP, a firm composed of:

| | | | |
|---------------------|-------------------|-------------------|-------------------|
| Virginia S. Medlen | (Reg. No. 32,050) | Maha A. Hamdan | (Reg. No. 43,655) |
| Peter G. Carroll | (Reg. No. 32,837) | J. Mitchell Jones | (Reg. No. 44,174) |
| Kamrin T. MacKnight | (Reg. No. 38,230) | David J. Wilson | (Reg. No. 45,225) |
| David A. Casimir | (Reg. No. 42,395) | Jason R. Bond | (Reg. No. 45,439) |

as its attorneys with full power of substitution to prosecute this application and transact all business in the Patent and Trademark Office in connection therewith.

Please direct all future correspondence and telephone calls regarding this application to:

Kamrin T. MacKnight
MEDLEN & CARROLL, LLP
220 Montgomery Street, Suite 2200 Telephone: 415/705-8410
San Francisco, California 94104 Facsimile: 415/397-8338

I hereby certify that the Assignment document filed with the application or filed subsequent to the filing date of the application, has been reviewed and I hereby certify that, to the best of my knowledge and belief, title is with The Regents of the University of California.

Dated: 11/21/00

By: 

Name: Dr. Alan Paauw

Title: Director, UCSD Technology Transfer
The Regents of the University of California
1111 Franklin St., 12th Floor
Oakland, CA 94607-5200



1855 70-00671065
UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office

ASSISTANT SECRETARY AND COMMISSIONER
OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

AS Parent

JUNE 17, 1999
PTAS
TOWNSEND AND TOWNSEND AND CREW LLP
ANNETTE S. PARENT
TWO EMBARCADERO CENTER, 8TH FLOOR
SAN FRANCISCO, CA 94111-3834



101008287A

10992 U.S. PTO
09/724666
11/28/00

UNITED STATES PATENT AND TRADEMARK OFFICE
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 03/30/1999

REEL/FRAME: 9869/0238
NUMBER OF PAGES: 3

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:
SAKOWICZ, ROMAN

DOC DATE: 03/17/1999

ASSIGNOR:
GOLDSTEIN, LAWRENCE S.B.

DOC DATE: 03/05/1999

ASSIGNEE:
REGENTS OF THE UNIVERSITY OF
CALIFORNIA, THE
1111 FRANKLIN STREET, 12TH FLOOR
OAKLAND, CALIFORNIA 94607-5200

SERIAL NUMBER: 09235416
PATENT NUMBER:

FILING DATE: 01/22/1999
ISSUE DATE:

9869/0238 PAGE 2

SHARON LATIMER, EXAMINER
ASSIGNMENT DIVISION
OFFICE OF PUBLIC RECORDS

3-30-99

04-12-1999

Attorney Docket No. 18557C-000710



FORM PTO-1595

(Rev. 6-93)

U.S. Department of Commerce
Patent and Trademark Office

To the Honorable Asst. Commissioner for Patents, documents or copy thereof

101008287

1. Name of conveying party(ies):

Roman Sakowicz and Lawrence S.B. Goldstein

Additional name(s) of conveying parties attached? ☒ Yes ☐ No☒ No

2. Name and address of receiving party(ies)

Name: The Regents of the University of California

Internal Address:

Street Address: 1111 Franklin Street, 12th Floor

City: Oakland State: California ZIP: 94607-5200

3. Nature of conveyance:

☒ Assignment ☐ Merger☐ Security Agreement ☐ Change of Name☐ Other:Additional names and addresses attached? ☐ Yes ☒ No

Execution Date: 3/17/99 and 3/5/99

4. Application Number(s) or Patent Numbers.

If this document is being filed together with a new application, the execution date of the application is:

A. Patent Application No(s): 09/235,416

B. Patent No(s):

Additional numbers attached? ☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Annette S. Parent
TOWNSEND AND TOWNSEND AND CREW LLP
Two Embarcadero Center, 8th Floor
San Francisco, California 94111-3834
(415) 576-0200

6. Total number of applications and patents involved 1

7. Total fee (37 CFR 3.41): \$40.00

☐ Enclosed ☒ Charge Fees to Deposit Account☒ Charge any additional fees associated with this paper or during the pendency of this application, or credit any overpayment, to deposit account.

8. Deposit account number: 20-1430

04/01/1999 MMARHOL 00000115 201430 09235416

01 FC:581 40.00 CH

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9. Statement and signature.

*To the best of my knowledge and belief, the foregoing is true and correct and any attached copy is a true of copy of the original document.*Annette S. Parent
Name of Person Signing
Signature3/25/99
Date

Atty Reg. No. 42,058

Total number of pages including cover sheet, attachments and document 3

10. Change Correspondence Address to that of Part 5? ☒ Yes ☐ No

OMB No. 0651-0011 (exp. 4/94)

Do not detach this portion

Mail documents to be recorded with required cover to:

Asst. Commissioner for Patents
Box: Assignments
Washington, D.C. 2023110992 U.S. PTO
09/724666
11/28/00

ASSIGNMENT

U.C. Case No.: SD-98-010

For good and valuable consideration, the receipt of which is hereby acknowledged, ASSIGNOR(S),

1. Roman Sakowicz2. Lawrence S.B. Goldstein

hereby sells, assigns and transfers to ASSIGNEE, The Regents of the University of California, a California Corporation, having its statewide administrative offices located 1111 Franklin St., 12th Floor, Oakland, CA 94607-5200, and the successors, assigns and legal representatives of the ASSIGNEE all of its right, title and interest for the United States and its territorial possessions and in all foreign countries in and to, any and all improvements which are disclosed in the invention entitled:

IDENTIFICATION AND EXPRESSION OF A NOVEL KINESIN MOTOR PROTEIN

and which is found in

(a) _____ U.S. provisional application filed herewith and listing the above-named persons as inventors

(b) _____ U.S. patent application filed herewith and listing the above-named persons as inventors

(c) X _____ U.S. application serial no. 09/235,416, filed on January 22, 1999

(d) _____ U.S. Patent No.: _____, issued _____

and any legal equivalent thereof in a foreign country, including the right to claim priority and, in and to, all Letters Patent to be obtained for said invention by the above application or any continuation, division, continuation-in-part, extension, conversion to 35 USC 111(a) or substitute thereof, and any reissue, reexamination or extension of said Letters Patent and all rights under all International Conventions for the Protection of Industrial Property;

ASSIGNOR(S) hereby covenants that no assignment, sale, agreement or encumbrance has been or will be made or entered into which would conflict with this assignment;

ASSIGNOR(S) further covenants that ASSIGNEE will, upon its request, be provided promptly with all pertinent facts and documents relating to said invention and said Letters Patent and legal equivalents as may be known and accessible to ASSIGNOR and will testify as to the same in any interference, litigation, or proceeding relating thereto and will promptly execute and deliver to ASSIGNEE or its legal representative any and all papers, instruments or affidavits required to apply for, obtain, maintain, issue or enforce said application, said invention and said Letters Patent and said equivalents thereof which may be necessary or desirable to carry out the purposes thereof. An attorney of record is authorized and requested by the execution of this assignment to insert into this assignment the filing date and serial number of said application when officially known.

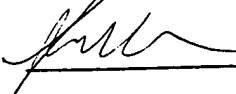
AND the ASSIGNOR(S) requests the Commissioner of Patents and Trademarks to issue said Letters Patent of the United States and any reissue or extension thereof to the ASSIGNEE, The Regents of the University of California.

executed this

Signature of Inventor(s)

17 day of March, 1999

____ day of _____, 19____



ASSIGNMENT

U.C. Case No.: SD-98-010

For good and valuable consideration, the receipt of which is hereby acknowledged, ASSIGNOR(S),

1. Roman Sakowicz 2. Lawrence S.B. Goldstein

hereby sells, assigns and transfers to ASSIGNEE, The Regents of the University of California, a California Corporation, having its statewide administrative offices located 1111 Franklin St., 12th Floor, Oakland, CA 94607-5200, and the successors, assigns and legal representatives of the ASSIGNEE all of its right, title and interest for the United States and its territorial possessions and in all foreign countries in and to, any and all improvements which are disclosed in the invention entitled:

IDENTIFICATION AND EXPRESSION OF A NOVEL KINESIN MOTOR PROTEIN

and which is found in

- (a) _____ U.S. provisional application filed herewith and listing the above-named persons as inventors
- (b) _____ U.S. patent application filed herewith and listing the above-named persons as inventors
- (c) X _____ U.S. application serial no. 09/235,416, filed on January 22, 1999
- (d) _____ U.S. Patent No.: _____, issued _____

and any legal equivalent thereof in a foreign country, including the right to claim priority and, in and to, all Letters Patent to be obtained for said invention by the above application or any continuation, division, continuation-in-part, extension, conversion to 35 USC 111(a) or substitute thereof, and any reissue, reexamination or extension of said Letters Patent and all rights under all International Conventions for the Protection of Industrial Property;

ASSIGNOR(S) hereby covenants that no assignment, sale, agreement or encumbrance has been or will be made or entered into which would conflict with this assignment;

ASSIGNOR(S) further covenants that ASSIGNEE will, upon its request, be provided promptly with all pertinent facts and documents relating to said invention and said Letters Patent and legal equivalents as may be known and accessible to ASSIGNOR and will testify as to the same in any interference, litigation, or proceeding relating thereto and will promptly execute and deliver to ASSIGNEE or its legal representative any and all papers, instruments or affidavits required to apply for, obtain, maintain, issue or enforce said application, said invention and said Letters Patent and said equivalents thereof which may be necessary or desirable to carry out the purposes thereof. An attorney of record is authorized and requested by the execution of this assignment to insert into this assignment the filing date and serial number of said application when officially known.

AND the ASSIGNOR(S) requests the Commissioner of Patents and Trademarks to issue said Letters Patent of the United States and any reissue or extension thereof to the ASSIGNEE, The Regents of the University of California.

executed this

Signature of Inventor(s)

5 day of March, 1999Roman Sakowicz

____ day of _____, 19____